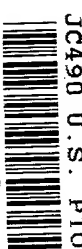


01/28/02



J0490 U.S. PTO

1-30-02

+

Please type a plus sign (+) inside this box →

Approved for use through 10/31/2002. OMB 0651-0047

PTO/SB/04

J0490 U.S. PTO

1-30-02



01/28/02

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	HUMT.68040
	First Named Inventor	David Williams
	Title	An Animal Feed Additive Containing Humates and a Method Using This Additive
	Express Mail Label No.	EL528646535US
Application Elements See MPEP chapter 600 concerning utility patent application contents.		ADDRESS TO: Assistant Commissioner of Patents Box Patent Application Washington, DC 20231

1. ☒ Fee Transmittal Form PTO/SB/17 (submit in duplicate)
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☐ Specification [Total Pages:
4. ☐ Drawing(s) (35 USC 113) [Total Sheets:
5. ☒ Oath or Declaration [Total Pages:
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with No. 17 completed)
 - i. ☐ DELETION OF INVENTOR(S) Signed
statement attached deleting inventor(s) named in the
prior application, see 37 CFR 1.63(d)(2) & 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or
computer program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on
CD-ROM or ☐ paper
 - c. ☐ Statement verifying above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement
Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure
Statement (IDS)/PTO-1449
13. ☐ Copies of IDS Citations
14. ☒ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503) (Itemized)
16. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
17. ☐ Nonpublication Request under 35 USC 122(b)(2)(B)(1).
Applicant must attach PTO/SB/35 or its equivalent.
18. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate blank and supply the requisite information:

<input checked="" type="checkbox"/> Continuation		of prior application No.: 09 / 470,393
<input type="checkbox"/> Divisional		Examiner:
<input type="checkbox"/> Continuation-in-part (CIP)		Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. Correspondence Address					
<input type="checkbox"/> Customer Number or Bar Code Label			or	<input checked="" type="checkbox"/> Correspondence address below	
(Insert Customer No. or Attach bar code label here)					
Name	Attn: James H. Riley II SHOOK, HARDY & BACON L.L.P.				
Address	600 Travis Street, Suite 1600				
City	Houston	State	Texas	Zip Code	77002-2911
Country	U.S.A.	Telephone	(713) 227-8008	Fax	(713) 227-9508

did not receive the 201-
copy from prior
app. call

James H. Riley II
James H. Riley II, Reg. No. 31,131

Date: 1-28-02

SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

MSW 85974v.1

FEE TRANSMITTAL for FY 2001 Patent fees are subject to annual revision		Complete if Known	
		Application Number	09/470,393
		Filing Date	
		First Named Inventor	David Williams
		Examiner Name	C. Sayala
		Group Art Unit	1761
Total Amount of Payment	\$ 830.00	Attorney Docket No.	HUMT.68040

METHOD OF PAYMENT (check one)			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account No.: <u>19-2112</u> Deposit Account Name: <u>Shook, Hardy & Bacon L.L.P.</u> <input checked="" type="checkbox"/> Charge any additional Fee Required Under 37 CFR §§ 1.16 & 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27			
2. Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other			
FEE CALCULATION			
1. Basic Filing Fee			
Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
\$740	\$370	Utility Filing Fee	\$ 370.00
\$330	\$165	Design Filing Fee	\$
\$490	\$245	Plant Filing Fee	\$
\$710	\$355	Reissue Filing Fee	\$
\$150	\$ 75	Provisional Filing Fee	\$
Subtotal (1)			\$ 370.00
2. Extra Claim Fees			
Claims	Extra	Fee (below)	Fee Paid
Total	-20** =	x \$	\$
Indep.	-3** =	x \$	\$
Multiple Dependent			\$
**or number previously paid, if greater.			
For Reissues, see below			
Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	
\$ 18	\$ 9	Claims in excess of 20	
\$ 84	\$ 42	Independent claims in excess of 3	
\$ 280	\$ 140	Multiple dependent claim, if not paid	
\$ 84	\$ 42	**Reissue independent claims over original patent	
\$ 18	\$ 9	**Reissue claims in excess of 20 and over original patent	
Subtotal (2)			\$ -

FEE CALCULATION (continued)			
3. Additional Fees			
Large Entity	Small Entity	Fee Description	Fee Paid
\$ 130	\$ 65	Surcharge - late fee or oath	\$
\$ 50	\$ 25	Surcharge - late provisional filing fee or cover sheet	\$
\$2,520	\$2,520	Request for Reexamination	\$
\$ 110	\$ 55	Extension for reply within first month	\$
\$ 400	\$ 200	Extension for reply within second month	\$
\$ 920	\$ 460	Extension for reply within third month	\$ 460.00
\$1,440	\$ 720	Extension for reply within fourth month	\$
\$1,960	\$ 980	Extension for reply within fifth month	\$
\$ 320	\$ 160	Notice of Appeal	\$
\$ 320	\$ 160	Filing a brief in support of an appeal	\$
\$ 280	\$ 140	Request for oral hearing	\$
\$ 110	\$ 55	Pet. to revive - unavoidable	\$
\$1,240	\$ 620	Pet. to revive-unintentional	\$
\$1,240	\$ 620	Utility issue fee (or reissue)	\$
\$ 440	\$ 220	Design issue fee	\$
\$ 600	\$ 300	Plant issue fee	\$
\$ 130	\$ 130	Petitions to the Commissioner	\$
\$ 50	\$ 50	Petitions related to provisional applications	\$
\$ 240	\$ 240	Submission of Information Disclosure Statement	\$
\$ 40	\$ 40	Assignment Recordation	\$
\$ 100	\$ 100	Certificate of Correction	\$
\$ 710	\$ 355	Req. Continued Exam RCE	\$
Other fee (specify): _____			\$
Other fee (specify): _____			\$
Subtotal (3)			\$ 460.00

Submitted by

James H. Riley II
 <Pat Atty and PTO Number>
 Telephone: 713-227-8008

Date: 1-28-02
 MSW 85702

SEND TO: Assistant Commissioner for Patents,
 Washington, DC 20231